

From the  
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

## PCT

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### NOTIFICATION OF TRANSMITTAL OF THE INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Rule 71.1)

Date of mailing  
(day/month/year)

15.12.2004

Applicant's or agent's file reference  
PXWO00311/2003

#### IMPORTANT NOTIFICATION

International application No.  
PCT/ES 03/00400

International filing date (day/month/year)  
31.07.2003

Priority date (day/month/year)  
31.07.2002

Applicant  
VODAFONE GROUP PLC et al.

1. The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international application.
2. A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.
3. Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.

#### 4. REMINDER

The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices) (Article 39(1)) (see also the reminder sent by the International Bureau with Form PCT/IB/301).

Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

The applicant's attention is drawn to Article 33(5), which provides that the criteria of novelty, inventive step and industrial applicability described in Article 33(2) to (4) merely serve the purposes of international preliminary examination and that "any Contracting State may apply additional or different criteria for the purposes of deciding whether, in that State, the claimed inventions is patentable or not" (see also Article 27(5)). Such additional criteria may relate, for example, to exemptions from patentability, requirements for enabling disclosure, clarity and support for the claims.

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# PATENT COOPERATION TREATY

## PCT

### INTERNATIONAL PRELIMINARY EXAMINATION REPORT (PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>PXWO00311/2003</b>	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/PEA/416)	
International application No. <b>PCT/ES 03/00400</b>	International filing date (day/month/year) <b>31.07.2003</b>	Priority date (day/month/year) <b>31.07.2002</b>
International Patent Classification (IPC) or both national classification and IPC <b>H04Q7/32</b>		
Applicant <b>VODAFONE GROUP PLC et al.</b>		
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 8 sheets, including this cover sheet.</p> <p><input checked="" type="checkbox"/> This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of 3 sheets.</p>		
<p>3. This report contains indications relating to the following items:</p> <ul style="list-style-type: none"> <li>I    <input checked="" type="checkbox"/> Basis of the opinion</li> <li>II   <input type="checkbox"/> Priority</li> <li>III <input type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li> <li>IV   <input type="checkbox"/> Lack of unity of invention</li> <li>V    <input checked="" type="checkbox"/> Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</li> <li>VI   <input type="checkbox"/> Certain documents cited</li> <li>VII <input type="checkbox"/> Certain defects in the international application</li> <li>VIII <input type="checkbox"/> Certain observations on the international application</li> </ul>		
Date of submission of the demand  <b>24.02.2004</b>	Date of completion of this report  <b>15.12.2004</b>	
Name and mailing address of the international preliminary examining authority:   European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized Officer  <b>Aullo Navarro, A</b>  Telephone No. +49 89 2399-2267	



**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. **PCT/ES 03/00400**

**I. Basis of the report**

1. With regard to the elements of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, Pages**

1-11 filed with the demand

**Claims, Numbers**

1-15 filed with telefax on 03.12.2004

**Drawings, Sheets**

1/3-3/3 as published

2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: **ENGLISH**, which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).
- ☐ the language of publication of the international application (under Rule 48.3(b)).
- ☒ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).
3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:
- ☐ contained in the international application in written form.
- ☐ filed together with the international application in computer readable form.
- ☐ furnished subsequently to this Authority in written form.
- ☐ furnished subsequently to this Authority in computer readable form.
- ☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.
- ☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:
- ☐ the claims, Nos.:
- ☐ the drawings, sheets:

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5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes: Claims	1-15
	No: Claims	
Inventive step (IS)	Yes: Claims	1-15
	No: Claims	
Industrial applicability (IA)	Yes: Claims	1-15
	No: Claims	

- 2. Citations and explanations**  
**see separate sheet**

**V. Statement under Article 35(2) PCT:**

i) Reference is made to the following documents:

D1: ES-T3-2 149 801

D1': EP-A-0 562 890

Document D1' was published on 29.09.93. It corresponds to document D1 (cited in the International Search Report), the contents of both documents being equivalent. Since D1' uses the language chosen for the purposes of the international preliminary examination, reference will be made in the following to the text passages of D1', in order to facilitate comprehension. A copy of D1' is annexed to this Written Opinion.

ii) The following statement is made on the question of inventive step in respect of the present claims:

1. For the purpose of the present evaluation in respect of novelty and inventive step, the subject-matter of the claims has been interpreted as if the problems of clarity identified below (see "Certain Observations" under Section iii) ) had been overcome by way of the necessary amendments (PCT Guidelines I-4.3).
2. The present application relates to a mobile telephone device (Claim 1) comprising an integrated circuit card with a subscriber identity module SIM or a universal subscriber identity module USIM, and with means for storing at least one application, the device comprising also means for remote access management of the card based on the reception of remote access messages by mobile telephony, as well as it relates also to a corresponding method (Claim 9) of managing data in arrays of stored applications.
- 2.1 The applications existing in the SIM card capable of sending commands to the mobile terminal are generally called Toolkit applications, which are an optional feature of both SIM cards and UICC cards specified in the GSM and UMTS standards. These standards define the storage in the SIM/USIM of data in a structured form (e.g., in "binary" and "formatted" fields, respectively corresponding to "transparent" and "linear fixed" elementary files e.g. in GSM), whereas data forming part

of applications generally have a proprietary format chosen by the developers, i.e. they are not subject to the standardised formatted structure in fields of a file, but are rather stored in *arrays* corresponding to the application code and its relevant data. It is known to remotely access "Over The Air" (OTA) the SIM/USIM card (see e.g. Figs. 1 and 2) to modify the content of some files (3F) in the card, to modify the customization profile, and to load or modify Toolkit applications (3A, 4A): in particular, the remote loading of entire applications (3A, 4A) is standardized, requiring any particular (i.e., proprietary) data to be stored in an array (4D) forming part of the application itself (4A) when it is downloaded remotely in the card, by contrast to applications (3A) employing standardised (formatted) data (3D) associated with (but not forming part of) them that have their data stored in a (structured) file (3F) to which standardized remote access is possible, as indicated just above.

2.2 The problem is that remote access via OTA to specific data stored in arrays is not defined in any way, as they do not have a formatted structure permitting to identify and access the specific data in an array (by contrast to the case of files). Thus, when it is currently desired to modify one piece of these (proprietary) data (4D), an application (4A) must be deleted and completely reloaded with the modified data. This results in the loss of all the information that the subscriber may have introduced to customize the application, and represents moreover an inefficient procedure (with respect to the modification of only the data whose modification is desired).

3. The invention hence lies in that the above-mentioned drawbacks in the prior art are solved, according with the characterising features of Claims 1 and 9, with the provision of a module for managing data arrays (data array manager module) of at least one application stored in the card. Upon reception of a remote access message (OTA message) with at least one instruction regarding at least one operation (read, write, etc.) to be performed on at least one piece of data in an array of a specified application, the data array manager module analyses the instruction (to thereby identify the array to be modified, e.g. by means of the application identifier AID and an identification number of the array assigned during programming) and then makes a call to the specified application requesting a reference to the array, the data array manager module receiving from the application the requested reference to access the array based on the reference and perform the operation(s) on at least one piece of data in the array according to the instruction(s).

In this way, access to a particular array (e.g., 4D) forming part of the specified application is possible, so that its modification can be effected without the need to delete and replace the entire application (4A), as in the prior art.

4. The claimed solution is neither taught nor suggested by the cited documents D1/D1', which refer only to the known modification of structured data stored in standardised files (not arrays) associated with (but not forming part of) an application already acknowledged as prior art by the Applicant.
5. Therefore, an inventive step can be acknowledged in the subject-matter of independent Claims 1 and 9, as well as in the subject-matter of their respective dependent Claims 2 to 8 and 10 to 15, which represent further details of implementation of the corresponding claimed device and method.

As a consequence, the present application is considered to meet the requirements of Article 33(1)-(4) PCT.

- iii) Regarding the application documents, certain defects have been noted and certain observations on their clarity are made in the following:

Certain defects:

6. The opening part of the description has not been modified to bring it into agreement with the amended independent claims (Rule 5.1(a)(iii) PCT). Particular attention should have been paid to avoiding any reference to "the invention" or to "embodiments" thereof in parts of the description not falling within the scope of the claims. Moreover, the features being defined by the independent claims as representative of the invention should have not been presented in the description as merely optional.
7. The cited document D1' (D1) has not been acknowledged and briefly discussed in the opening part of the description (Rule 5.1(a)(ii) PCT), so as to put the invention into the proper perspective. The statement of problem in the introductory part of

the description has not been revised, following from the disclosure of the cited document D1' (D1)(PCT Guidelines II-4.4 and II-4.6)

Certain observations:

8. It is clear from the description on page 9, lines 28-35, that the subject-matter of independent Claims 1 and 9 does not include a feature relating to "making a call (M4) to said specified application (4A) requesting a reference to said array (S3)" which is essential to the definition of the invention in respect of the analysis of the received instruction that permits to identify the array to be modified.

Since independent Claims 1 and 9 do not contain this feature, they do not meet the requirement following from Article 6 PCT taken in combination with Rule 6.3(b) PCT that any independent claim must contain all the technical features essential to the definition of the invention.

9. A similar objection applies also to independent Claim 9 in respect of the following missing features which are essential to the proper definition of the invention in the method category:

i) the claimed method is characterized also in that it is carried out by means of a data array manager module;

ii) the instruction in the received message is "an instruction regarding an operation to be performed on at least one piece of data in one array of a specified application (4A) stored in the card" (the absence of the underlined features leaving undefined that the instruction specifies both a particular application and an operation to be performed);

iii) the "accessing"-step is actually related to the instruction, i.e. it should be directed to "accessing the array (S5) according to said instruction"; and

iv) following from the necessary amendment indicated in i) above, the last step should refer to "performing said operation (S5)" rather than "operating (S5)".

These features should have hence been included also in independent Claim 9.

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EXAMINATION REPORT - SEPARATE SHEET**

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10. The general statement in the description on page 11, lines 3-6, suggesting that the extent of protection may be expanded in some vague and not precisely defined way, is not clear, and when used to interpret the claims, it renders them also unclear, contrary to Article 6 PCT (cf. also PCT Guidelines 5.30). This statement should therefore be deleted.

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**CLAIMS**

1.- A mobile telephone device, comprising:

an integrated circuit card (1) with a subscriber identity module or a universal subscriber identity module, said card (1) comprising means for storing at least one application (3A, 4A);

means for remote access management of the card (1) based on the remote access message reception by mobile telephony;

characterized in that it further comprises

at least one data array manager module (5) for managing data arrays of at least one application stored in the card (1), said data array manager module comprising:

- means for receiving, by means of a remote access message, at least one instruction for operating on at least one piece of data (4D) contained in an array of a specified application (4A);

- means for analyzing said instruction;

- means for accessing said array according to said instruction, which further comprise

- means for receiving from the specified application (4A) a requested reference for said array; and

- means for accessing the array based on said reference; and,

- means for performing at least one operation on said at least one piece of data (4D) in said array, according to said instruction.

2.- A device according to claim 1, characterized in that the means for accessing said array further comprise:

- means for asking the specified application for said reference of the array.

3.- A device according to any of claims 1 and 2, characterized in that the application is a SIM Application Toolkit or Universal SIM Application Toolkit application.

4.- A device according to any of the previous claims, characterized in that the data array manager module (5) is configured to be able to access arrays of a plurality of applications.

5.- A device according to any of claims 1-3, characterized in that the data array manager module is part of the specific application whose data array is to be accessed by said data array manager module.

6.- A device according to the previous claim, characterized in that the data

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array manager module is an Application Programming Interface.

7.- A device according to any of the previous claims, characterized in that the remote access management means are based on the GSM 03.48 standard or on the 3GPP 23.048 standard.

5        8.- A device according to any of the previous claims, characterized in that it comprises a terminal (20) supporting Subscriber Identity Module (SIM) Application Toolkit or Universal SIM Application Toolkit and supporting Data Download, and/or a class "e" terminal supporting the SIM Toolkit commands for channel management.

10       9.- A method for managing data in arrays of applications stored in an integrated circuit card (1) of a mobile telephony subscriber equipment, said card (1) storing a subscriber identity module or a universal subscriber identity module, characterized in that the method comprises the steps of:

15       - receiving a message (M1) from a remote access server (10), with at least one instruction regarding at least one piece of data in one array of one application (4A) stored in the card;

      - analyzing the instruction (S2);

      - accessing the array (S5), which further comprises the steps of:

          - receiving from the application (4A) a requested reference for said array;

and

20       - accessing the array based on said reference;

      - operating (S5) on said at least one piece of data in the array based on the instruction.

      10.- A method according to claim 9, characterized in that the step of analyzing the instruction (S2) is followed by the step of:

25       - asking the application (4A) for a reference of the array (S3).

      11.- A method according to any of claims 9 and 10, characterized in that

      - the message (M1) is received in a terminal (20) of the subscriber equipment;

      - the message is sent from the terminal to the card (1);

30       - a remote access manager module (2) in the card forwards the instruction (M3) to a data array manager module (5) identified in the message.

      12.- A method according to claim 11, characterized in that the message (M1) is of the Data Download type.

      13.- A method according to claim 12, characterized in that the message is sent to the card (1) by means of the ENVELOPE command (M2).

35       14.- A method according to claim 11, characterized in that the message (M1)

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is sent to the card through a Bearer Independent Protocol-based channel.

15.- A method according to any of claims 13 and 14, characterized in that the instruction is forwarded to a data array manager module (5) identified by means of the Toolkit Application Reference field of the message.

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